

2871

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re: Jeffrey A. Korn, Peter S. Whitney and Dale C. Flanders

Serial No: 09/707,710

Filed: November 7, 2000

For: System and Process for Past Alignment  
Polarization Extinction Ratio Compensation in  
Semiconductor Laser System

Patent Application  
Confirmation No: 9810

Group: 2871

Examiner: Wang, George Y.

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CERTIFICATE OF MAIL

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as First Class Mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450:

By:

*Deborah Celeste*  
Deborah Celeste

11-18-03

Date

\*\*\*\*\*

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents

P.O. Box 2327

Arlington, VA 22202

Sir:

This Information Disclosure Statement is submitted:

☐ under 37 CFR 1.129(a), or

(First/Second submission after Final Rejection)

☒ under 37 CFR 1.97(b), or

(Within any one of the following time periods: three months of filing national application (other than a CPA) or date of entry of the national stage in an international application; or before the mailing date of a first office action on the merits in a non-provisional application, including a CPA, or a Request for Continued Examination).

☐ under 37 CFR 1.97(c) together with either:

☐ a Statement under 37 CFR 1.97(e), as checked below, or

☐ a \$180.00 fee under 37 CFR 1.17(p), or

(After the 37 CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)

☐ under 37 CFR 1.97(d) together with:

☐ a Statement under 37 CFR 1.97(e), as checked below, and

☐ a \$180.00 fee under 37 CFR 1.17(p), or

(Filed after final action or notice of allowance, whichever occurs first, but on or before payment of the issue fee)

- ☐ under 37 CFR 1.97(i):  
Applicant requests that the IDS and cited reference(s) be placed in the application filewrapper.  
(Filed after payment of issue fee)

Statement Under 37 CFR 1.97(e)

- ☒ Each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement; or
- ☐ No item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned, after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Statement Under 37 CFR 1.704(d) (Patent Term Adjustment)

Applies to original applications (other than design) filed on or after May 29, 2000

- ☐ Each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in ' 1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.
- ☒ Enclosed herewith is form PTO-1449:
- ☒ Copies of the cited references are enclosed.
- ☐ Copies of cited references are enclosed except those entered in prior application, U.S. Application No. [ ], to which priority under 35 U.S.C. 120 is claimed. [The earlier application contains copies of the cited references.]
- ☒ The listed references were cited in the enclosed International Search Report in a counterpart foreign application.
- ☒ The "concise explanation" requirement (non-English references) for reference(s) DE 43 07 974 C1 and DE 34 31 775 A1 under 37 CFR 1.98(a)(3) is satisfied by:
- ☐ the explanation provided on the attached sheet.
- ☐ the explanation provided in the Specification.
- ☒ submission of the enclosed International Search Report.
- ☐ submission of the enclosed English-language version of a foreign Search Report and/or foreign Office Action.
- ☐ the enclosed English language abstract.

☐ Applicant requests that the following non-published pending applications be considered:  
Examiner's Initials

\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.: [ ]

\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.: [ ]

\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.: [ ]

Examiner

Date

- ☐ A copy of each above-cited application, including the current claims, is enclosed.
- ☐ A copy of each above-cited application, including the current claims, is enclosed, except those entered in prior application, U.S. Application No. [ ], to which priority under 35 U.S.C. 120 is claimed.

The Examiner is requested to return a copy of the above list of pending applications indicating which references were considered with the next office communication.

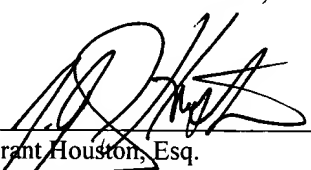
It is requested that the information disclosed herein be made of record in this application.

Method of payment:

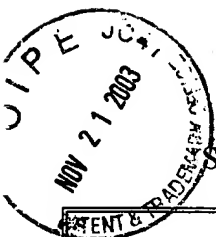
- ☐ A check for the fee noted above is enclosed, or the fee has been included in the check with the accompanying Reply. A copy of this Statement is enclosed.
- ☐ Please charge Deposit Account 501547 in the amount of \$[ ]. A copy of this Statement is enclosed.
- ☒ Please charge any deficiency in fees and credit any overpayment to Deposit Account 501547.

Respectfully submitted,

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Sheet 1 of 1

FORM PTO-1449 INFORMATION DISCLOSURE STATEMENT				ATTY DOCKET NO. 1029.us		SERIAL NO. 09/707,710	
				APPLICANT(S): Jeffrey A. Korn, et al.			
				FILING DATE: November 7, 2000		ART UNIT: 2871	
UNITED STATES PATENT DOCUMENTS							
EXAM. INITIAL		DOCUMENT NUMBER	DATE	INVENTOR	CLASS	SUB CLASS	FIL. DATE IF APPR
		4,874,217	Oct 17 1989	Janssen	350	96.20	
		5,553,182	Sep 3 1996	Haake	385	89	
FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRAN Y/N
		WO 91/06022	May 2 1991	PCT	G02B	6/36	Y
		GB 2 229 856 A	Oct 3 1990	GB	G02B	6/42	Y
		DE 43 07 974 C1	Aug 25 1994	DE	G05D	3/10	N
		EP 0 971 252 A2	Jan 12 2000	EPO	G02B	6/42	Y
		DE 34 31 775 A1	Mar 13 1986	DE	G02B	6/42	N
OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)							
		Shah, V., et al., "Packaging Technology for High-Power, Singlemode-Fiber-Pigtailed Pump Laser Modules for Er-Doped Fiber Amplifiers", 1992 IEEE, pp. 842-847.					
		Moyer, R.S., et al., "Design and Qualification of Hermetically Packaged Lithium Niobate Optical Modulator", 1997 Electronic Components and Technology Conference, 1997 IEEE, pp. 425-429.					
Examiner:					Date:		